

03-19-01

A

# UTILITY PATENT APPLICATION TRANSMITTAL

## (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
0094.048Total Pages in this Submission  
4**TO THE ASSISTANT COMMISSIONER FOR PATENTS**

Box Patent Application

Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

FLASH CVD PROCESS FOR SYNTHESIS OF CARBON NANOTREES

and invented by:

Richard W. Siegel, John M. Nugent and Pulickel M. Ajayan

 10979 U.S. PTO  
 09/809883  
 03/16/01

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 20 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (if applicable)
  - c. ☒ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

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## Application Elements (Continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☒ Formal      b. ☐ Informal      Number of Sheets 6
4. ☒ Oath or Declaration
- a. ☐ Newly executed (original or copy)      ☒ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☒ With Power of Attorney      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied  
under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

8. ☐ Assignment Papers (cover sheet & documents)
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class      ☒ Express Mail (Specify Label No.): EL 737086220 US

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
0094.048

Total Pages in this Submission  
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**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. ☐ Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_
17. ☒ Additional Enclosures *(please identify below)*:

Assertion of Small Entity Status Under 37 C.F.R. 1.27(c)(2) (1 page);  
EFS Application Data Sheet (2 pages)

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

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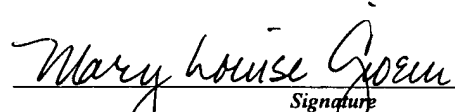
**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	42	- 20 =	22	x \$9.00	\$198.00
Indep. Claims	4	- 3 =	1	x \$40.00	\$40.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$355.00
OTHER FEE (specify purpose) _____					\$0.00
TOTAL FILING FEE					\$593.00

- ☒ A check in the amount of \$593.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 08-1935 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: MARCH 16, 2001

  
Signature  
MARY LOUISE GIOENI, ESQ.  
Registration No. 41,779

HESLIN & ROTHENBERG, P.C.  
5 Columbia Circle  
Albany, New York 12203  
Telephone: (518) 452-5600  
Telecopy: (518) 452-5579

CC:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

In Re Application of: **Richard W. Siegel, John M. Nugent and Pulickel M. Ajayan**

Title: **FLASH CVD PROCESS FOR SYNTHESIS OF CARBON NANOTREES**

Attorney Docket No.: **0094.048**



**"EXPRESS MAIL" MAILING LABEL NO. EL 737086220 US**

Date of Deposit: **March 16, 2001**

I hereby certify that this paper is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and addressed to:

BOX PATENT APPLICATION  
ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

Christine Adkins

(Typed or printed name of person mailing paper or fee)

Christine Adkins

(Signature of person mailing paper or fee)

**DOCUMENTS INCLUDED:**

- \* U.S. Patent Application including: Specification (20 pages), 42 Claims and an Abstract
- \* Formal Drawings (6 pages)
- \* Utility Patent Application Transmittal Letter - Small Entity (4 pages) (in duplicate)
- \* Check for \$593- filing fee
- \* Unsigned Declaration and Power of Attorney for Patent Application (4 pages)
- \* Certificate of Mailing by "Express Mail" Label No. **EL 737086220 US**
- \* EFS Application Data Sheet (2 pages)
- \* Assertion of Small Entity Status Under 37 C.F.R. § 1.27(c)(2) (1 page)
- \* One (1) Acknowledgment Postcard

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Siegel et al.

Serial No.: Unassigned

Group Art Unit: Unassigned

Filed: Herewith

Examiner: Unassigned

Title: FLASH CVD PROCESS FOR SYNTHESIS OF CARBON NANOTREES

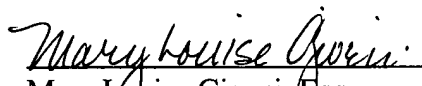
To: Attn: **BOX PATENT APPLICATION**  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**ASSERTION OF SMALL ENTITY STATUS UNDER 37 C.F.R. § 1.27(c)(2)**

Dear Sir:

The applicants in the above-identified application are entitled to small entity status.

Respectfully submitted,

  
Mary Louise Gioeni, Esq.  
Attorney for Applicant  
Registration No. 41,779

Dated: March 16, 2001

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